



IPW

PATENT  
Attorney Docket No.: COOL-00601

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ) Group Art Unit: 3743  
Girish Upadhyा et al. ) Examiner: Terrell L. McKinnon  
Serial No.: 10/699,505 )  
Filed: October 30, 2003 ) 162 N. Wolfe Road  
For: **CHANNELED FLAT PLATE FIN** ) Sunnyvale, CA 94086  
**HEAT EXCHANGE SYSTEM,** ) (408) 530-9700  
**DEVICE AND METHOD** ) Customer No.: 28960  
)

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

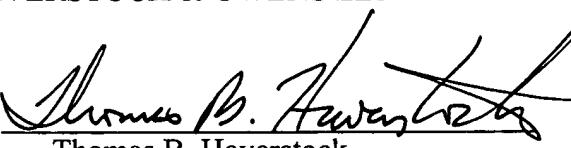
Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

You will also find enclosed the associated Transmittal, Electronic Information Disclosure Statement, and United States Patent and Trademark Office Acknowledgment Receipt for the electronically filed Supplemental Information Disclosure Statement (EFS ID# 89933) filed on August 5, 2005.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

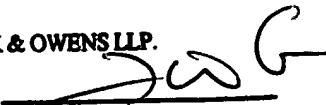
Respectfully submitted,  
HAVERSTOCK & OWENS LLP

By:   
Thomas B. Haverstock  
Reg. No.: 32,571

Dated: 8-9-05

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR§ 1.8(a))**  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.  
Date: 8/9/05 By: 



**PATENT**  
Attorney Docket No.: COOL-00601

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Filed: October 30, 2003 )  
For: **CHANNELED FLAT PLATE FIN**  
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**DEVICE AND METHOD** )  
                          ) **SUPPLEMENTAL INFORMATION**  
                          ) **DISCLOSURE STATEMENT**  
                          ) 162 N. Wolfe Road  
                          ) Sunnyvale, CA 94086  
                          ) (408) 530-9700  
                          )

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MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

United States Patents or Published Patent Applications have been filed electronically (EFS ID# 89933). Applicants have become aware of the following printed publications which may be material to the examination of this application:

- Japanese Patent Abstract JP 10-99592; and
- Japanese Patent Abstract JP 2001-326311.

PATENT  
Attorney Docket No.: COOL-00601

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 8-9-05

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

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- 2 -

HAVERSTOCK & OWENS LLP.

Date: 8/9/05 By: S. W.



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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P.O. Box 1450  
Alexandria, VA 22313

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I hereby certify that the attached two (2) references contained in this supplemental information disclosure statement were cited within an International Search Report (ISR) mailed on May 23, 2005. Accordingly, the reference contained in the information disclosure statement were cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).

PATENT  
Attorney Docket No.: COOL-00601

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 8-9-05

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

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- 2 -

HAVERSTOCK & OWENS LLP.  
Date: 8/9/05 By: S. W. G.

FORM PTO-1449 (Modified)	AUG 11 2005	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No.: COOL-00601	Serial No.: 10/699,505
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use Several Sheets If Necessary) (37 CFR § 1.98(b))			Applicants: Girish Upadhyay et al.	
			Filing Date: October 30, 2003	Group Art Unit: 3743

## U.S. PATENT DOCUMENTS

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patente	Class	Subclass	Filing Date
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	AK	JP 10-99592	04/21/98	JP	D06F	39/08		X
	AL	JP 2001-326311	11/22/01	JP	H01L	23/427		X
	AM							
	AN							
	AO							

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

AP	
AQ	
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AS	
AT	
AU	
AV	
AW	
AX	
AY	
AZ	

Examiner: \_\_\_\_\_ Date Considered: \_\_\_\_\_

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**UNITED STATES PATENT AND TRADEMARK OFFICE**  
**ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1  
 Stylesheet Version v1.1.1

Title of Invention	CHANNELED FLAT PLATE FIN HEAT EXCHANGE SYSTEM, DEVICE AND METHOD										
Submission Type:	Information Disclosure Statement										
Application Number:	10/699505 *10/699505*										
EFS ID:	89933										
Server Response:	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Confirmation Code</th> <th style="width: 80%;">Message</th> </tr> </thead> <tbody> <tr> <td>ISVR1</td> <td>Submission was successfully submitted – Even if Informational or Warning Messages appear below, please do not resubmit this application</td> </tr> <tr> <td>ICON1</td> <td>3573</td> </tr> <tr> <td>USPTOEFSNotice</td> <td>For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a></td> </tr> </tbody> </table>			Confirmation Code	Message	ISVR1	Submission was successfully submitted – Even if Informational or Warning Messages appear below, please do not resubmit this application	ICON1	3573	USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>
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First Named Applicant:	Girish Upadhyा										
Attorney Docket Number:											
Timestamp:	2005-08-05 17:47:55 EDT										
From:	us										
File Listing:	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Doc. Name</th> <th style="width: 33%;">File Name</th> <th style="width: 33%;">Size (Bytes)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Doc. Name	File Name	Size (Bytes)					
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8/5/2005

Acknowledgement Receipt

Page 2 of 2

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Digital Certificate Holder Name:	cn=Thomas B. Haverstock,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US																									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Doc. Name</th> <th style="width: 33%;">File Name</th> <th style="width: 33%;">Size (Bytes)</th> </tr> </thead> <tbody> <tr> <td>us-ids</td> <td>COOL00601-usidst.xml</td> <td>2183</td> </tr> <tr> <td>us-ids</td> <td>us-ids.dtd</td> <td>7763</td> </tr> <tr> <td>us-ids</td> <td>us-ids.xls</td> <td>12026</td> </tr> <tr> <td>package-data</td> <td>COOL00601-pkda.xml</td> <td>1681</td> </tr> <tr> <td>package-data</td> <td>package-data.dtd</td> <td>27025</td> </tr> <tr> <td>package-data</td> <td>us-package-data.xls</td> <td>19263</td> </tr> <tr> <td></td> <td>Total files size</td> <td>69941</td> </tr> </tbody> </table>			Doc. Name	File Name	Size (Bytes)	us-ids	COOL00601-usidst.xml	2183	us-ids	us-ids.dtd	7763	us-ids	us-ids.xls	12026	package-data	COOL00601-pkda.xml	1681	package-data	package-data.dtd	27025	package-data	us-package-data.xls	19263		Total files size	69941
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TRANSMITTAL	
<b>Electronic Version v1.1</b> <b>Stylesheet Version v1.1.0</b>	
<b>Title of Invention</b>	<b>CHANNELED FLAT PLATE FIN HEAT EXCHANGE SYSTEM, DEVICE AND METHOD</b>
Application Number:	10/699505 *10/699505*
Date:	2003-10-30
First Named Applicant:	Girish Upadhyay
Confirmation Number:	3573
Attorney Docket Number:	

I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.

I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.

Submitted by:	Elec. Sign.	Sign. Capacity
Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney

Documents being submitted	Files
us-ids	COOL00601-usidst.xml us-ids.dtd us-ids.xsl
Comments	

**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v1.8

Stylesheet Version v1.8.0

Title of Invention	CHANNELED FLAT PLATE FIN HEAT EXCHANGE SYSTEM, DEVICE AND METHOD	
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Application Number: 10/699505 \*10/699505\*

Confirmation Number: 3573

First Named Applicant: Girish Upadhyay

Attorney Docket Number:

Search string: (0596062 or 2273505 or 4211208 or 6119729 or 6397932 or 20020075645 ).pn.

**Certification:** This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

**US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	0596062	1897-12-28	W. P. Firey			
	2	2273505	1942-02-17	R. R. Florian			
	3	4211208	1980-07-08	Lindner			
	4	6119729	2000-09-19	Oberholzer et al.			
	5	6397932	2002-06-04	Calaman et al.	B1		

**US Published Applications**

Note: Applicant is not required to submit a paper copy of cited US Published Applications

Init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020075645	2002-06-20	Kitano et al.	A1		

**Signature**

Examiner Name	Date